

**United States Department of the Interior
BUREAU OF LAND MANAGEMENT
National Human Resources Management Center
Denver Federal Center, Building 50
P.O. Box 25047
Denver, Colorado 80225-0047**

In Reply Refer To:
1400-735 (HR-220) P

December 21, 2001

EMS TRANSMISSION 12/21/2001
Instruction Memorandum HR-2002-010
Expires 09/30/02

To: Servicing Personnel Officers
From: Director, National Human Resources Management Center
Subject: 2001 Agency Ethics Program Questionnaire

DD: 1/9/02 COB

Program Area: Ethics

Purpose: This Instruction Memorandum (IM) forwards the annual ethics questionnaire.

Policy/Action: Attached is the 2001 Agency Ethics Program Questionnaire for your input. Included are only those items that are applicable to the SPOs. Please complete the attached questionnaire and return to Teresa Milner, HR-220, **by no later then 1/9/02 COB.**

Timeframe: Reply due to HR-220 **by no later then Wednesday, January 9, 2002, COB.**

Budget Impact: None.

Background: The Office of Government Ethics requires that each Agency provide an annual ethics questionnaire. Completion of the BLM questionnaire is a combined effort between NHRMC, the Washington Office and the State Personnel Offices.

Manual/Handbook Sections Affected: 5 CFR 2638 and the DOI Supplemental Standards of Ethical Conduct.

Coordination: None.

Contact: If you have any questions, please contact Teresa Milner, Assistant Ethics Counselor, at (303) 236-3569, or by e-mail at Teresa_Milner@blm.gov. This includes questions about extensions.

Signed by:
Linda D. Sedbrook
Director, National Human
Resource Management Center

Authenticated by:
Luron Porter
Staff Assistant

1 Attachment

1 - 2001 Agency Ethics Program Questionnaire (6 pp)

Distribution

SPOs
ST-150, BLM Library
all BLM AEC and ER specialist

OGE Use Only

| |
|--|
| |
|--|

***United States
Office of Government Ethics***

2001 Bureau/Office ETHICS PROGRAM QUESTIONNAIRE

Your response to this questionnaire will constitute your annual report for 2001. Section 402(e)(1) of the Ethics in Government Act of 1978, as amended, requires that executive agencies submit an annual report to the Office of Government Ethics (OGE) concerning certain aspects of their ethics programs. This annual report shall be filed with OGE on or before February 1 of each year (5 C.F.R. § 2638.602(a)).

Please respond to each question as completely and accurately as possible. Also, please print or type neatly and try to keep your responses confined to the assigned blocks or spaces. Use an [X] where appropriate. Please attach sheets for narrative responses. Be sure to clearly indicate which question you are answering on all attached sheets. Throughout the questionnaire, "year" refers to the calendar year (i.e., 1/1/01 through 12/31/01) except where specified.

If you have any questions, contact Kaneisha Cunnigham at 202-208-8000, extension 1180.

DEADLINE: FEBRUARY 1, 2002

ORGANIZATION

1. Bureau/Office: _____

2. Number of full-time Bureau/Office employees (calendar year 2001).

3. Names, grades and the percentage of time employees with assigned ethics responsibilities:

| Name | Grade | Percentage of time |
|-------|-------|--------------------|
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |

RESOURCES

1. Please rank the following elements of your ethics program from one (1) being the most time spent to administer to seven (7) being the least time spent to administer. If certain of these elements do not exist within your agency or other elements take more time to administer, please explain and rank on a separate sheet. **Please use each ranking (i.e., number) one time.**

Public financial disclosure system_____

Confidential financial disclosure system_____

Outside activity approval system_____

Written opinion and counseling_____

Education and training_____

Disciplinary process of violations_____

Special Government employees' activities_____

(see page 15 for definition of Special Government employee.)

2. Do you contract out any part(s) of your ethics program?

☐ YES ☐ NO (go to question 3)

I f y e s , w h a t p a r t (s) :

If yes, may we share this information with other Federal agencies?

☐ YES ☐ NO

3. Have you automated part(s) of your ethics program?

☐ YES ☐ NO (go to question 3)

If yes, what part(s): _____

If yes, may we share this information with other Federal agencies?

☐ YES ☐ NO

EDUCATION AND TRAINING

1. In providing the initial ethics orientation to new employees, did your agency provide any training beyond the distribution of required materials?

☐ YES ☐ NO (go to question 2) ☐ N/A

If yes, please identify the type of training provided. Mark more than one, if appropriate.

- a. Verbal briefing_____
- b. Videos/films:
 - OGE-produce_____
 - Agency-produced_____
- d. Ethics course_____
- e. Summary of regulations_____
- f. Computer-based training_____
- g. Handbooks/pamphlets_____
- h. Case studies_____
- i. Other (specify):_____

1. How often do you provide initial ethics orientation?

- a. Every 90 days_____
- b. On an as-need basis_____
- c. Other (specify)_____

1. Please use the following tables to report the number of covered employees who were required to receive an annual ethics briefing in Calendar Year (CY) 2000 and the number of covered employees who actually received an annual briefing during CY 2000. Please note that covered employees have been broken down into two categories, those that file a Public Financial Disclosure Report (Public Filers) and All Others. Please note, all cited references are to 5 C.F.R. § 2638.704.

| ALL OTHERS (Covered employees other than public filers) | Number |
|---|--------|
| Total number of other covered employees required to receive an annual ethics briefing (written or verbal) | |
| Number who received verbal annual briefings in accordance with § 2638.704(d)(3)(ii) [at least 1 out of 3 years] | |
| Number who received written annual briefings in accordance with § 2638.704(d)(3)(i) [up to 2 out of 3 years] | |
| Number who received written annual briefings in accordance with the exception at § 2638.704(d)(3)(iii)(A) [impractical to provide a required verbal briefing] | |
| Number of SGEs who received written annual briefings in accordance with the exception at § 2638.704(d)(3)(iii)(B) [expected to work < 60 days in a calendar year] | |
| Who received written annual briefings in accordance with the exception at § 2638.704(d)(3)(iii)(D) [covered only at agency designation] | |

2. Number of employees who used the following training methods and materials for the annual training?

Copies of the Standards of Ethical Conduct and/or agency supplemental regulations.....

Summary of the Standards of Ethical Conduct.....

Slides/overheads

Videos/films.....

OGE-produced.....

Agency-produced.....

Satellite Broadcast

DOI Produced.....

Other Agency Produced.....

Lectures.....

Computer-based.....

Handbooks/pamphlets.....

Case studies.....

Newsletters/bulletins.....

Teleconferencing.....

Other (specify).....

.....

ETHICS OPINIONS, ADVICE AND COUNSELING

1. Please rank the following topics from **1** being the most frequent type of advice rendered to **9** being the least frequent type of advice rendered. If a topic is not applicable, please mark **N/A**. If N/A is marked, please renumber accordingly. (E.g., if N/A is used once, then use the numbers **1** through **8**, etc.) If other types of ethics opinions are rendered more frequently, please identify and rank on a separate sheet. **Please use each ranking (i.e., number) one time.**

Honoraria_____

Outside employment/activities (other than honoraria)_____

Post-employment restrictions_____

Conflicting financial interests_____

Awards_____

Impartiality in performance of official duties_____

Misuse of position, Government resources, information_____

Travel, subsistence, and related expenses from
non-Federal sources_____

Gift acceptance, excluding awards and travel, subsistence,
and related expenses from non-Federal sources_____

2. Who is authorized to provide written advice on standards of conduct and conflict of interest statutes? Mark more than one, if appropriate.

DAEO/Alternate DAEO/Deputies/Ethics Officials_____

General Counsel/Regional Counsels/Staff Attorneys_____

Supervisors_____

Directors of Personnel/Staff_____

Agency Head_____

Other (specify)_____

ENFORCEMENT OF STANDARDS OF ETHICAL CONDUCT

1. Report the number of disciplinary actions taken in 2000 based wholly or in part upon violations of the standards of ethical conduct provisions (5 C.F.R. part 2635). For purposes of this question, disciplinary actions include removals, demotions, suspensions, and written reprimands or their equivalents. Do not, however, include cautionary warnings and actions based on time and attendance violations.
 - a. Gifts from outside sources (includes travel).....
 - b. Gifts between employees.....
 - c. Conflicting financial interests.....
 - d. Impartiality in performance of official duties.....
 - e. Seeking other employment.....
 - f. Misuse of position, Government resources, credit cards, equipment, and information.....
 - g. Conflicting outside activities.....
 - h. Compensation for teaching, speaking, and writing.....
 - i. Compensation from non-Federal sources.....
 - j. Indebtedness.....
 - k. General provisions.....
 - l. Provision(s) in agency supplemental regulation.....
 - m. Other (specify).....
- TOTAL**.....